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MECHANISMS OF CERVICAL SPINE INJURY DURING IMPACT TO THE PROTEC-ETC(U)

MAR 81 V R HODGSON, L M THOMAS

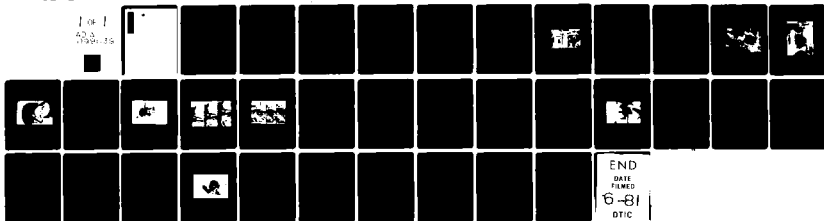
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It was found that very little could be done with energy-absorbing material in the crown to reduce spine strain due to a crown impact. Also, the rear rim was not a 'guillotine' threat to fracture-dislocation from blows which cause hypertension, and the higher cut rear rim recommended to reduce or eliminate this alleged hazard caused higher strain by virtue of allowing greater extension of the neck.

MECHANISMS OF CERVICAL SPINE INJURY
DURING IMPACT TO THE PROTECTED HEAD

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SUMMARY

Static and impact loading of the heads of embalmed cadavers wearing protective helmets have been conducted for the purpose of understanding the mechanics of fracture-dislocation injury to the cervical spine. Some of the cadavers were cut down on one side of the neck for high-speed photographic observation of the spine during impact. Others were instrumented with strain gages on the bodies and near the facets to assist in correlating spine movements and load configuration with strain distribution.

Results indicate that static loading can be a useful predictor of failure site under dynamic conditions. Those conditions which were found to be most influential on injury site and level of strain were: 1) The extent to which the head was gripped by the impact surface to allow or restrict motion at the atlanto-occipital junction; 2) Impact location; and, 3) Impact force alignment with the spine.

It was found that very little could be done with energy-absorbing material in the crown to reduce spine strain due to a crown impact. Also, the rear rim was not a 'guillotine' threat to fracture-dislocation from blows which cause hyperextension, and the higher cut rear rim recommended to reduce or eliminate this alleged hazard caused higher strain by virtue of allowing greater extension of the neck.

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Most of the research on the mechanics of spinal injuries has been carried out on segments of the cervical spine. Notable in this respect has been the work of Roaf (1) who used the basic spinal unit consisting of two intact vertebrae joined by an intervertebral disc, two posterior articulations and a number of ligaments. Roaf found the disc, joints and ligaments to be very resistant to compression, distraction, flexion and extension, but very vulnerable to rotation and horizontal shearing forces. In general he found that rotation forces produce dislocations, and compression forces produce fractures.

Bauze and Ardran (2) devised an experiment in which entire cervical spines, with basi-occiput attached, were subject to compressive loads with the lower part of the spine flexed and fixed, and the upper extended and free to move forward. They loaded the specimen with a combination of vertical compression, flexion, and horizontal shear forces. Bilateral dislocation of the facets was produced without fracture with only 1.42 kN. They found that the maximum load coincided with the rupture of the posterior ligaments (interspinous and capsular) and stripping of the anterior longitudinal ligament prior to dislocation. In contrast to this, Roaf (1) found that the compressive strength of end plates of the vertebral bodies was around 6.23 kN and that the intact disc was even stronger, failing around 7.12 kN. When Roaf loaded the spinal unit in slight flexion and applied rotational force to the posterior ligaments, joint capsules and posterior longitudinal ligaments tore in that order resulting in a typical dislocation. However, he was unable to succeed in producing pure hyperflexion (when disruption of posterior ligaments occur) injury of a normal intact spinal unit. Before the posterior ligaments ruptured, the vertebral body always became crushed. These

experiments with segments of the cervical spine indicate that failure can be a complex process and the external load is not a good predictor of when failure will occur, what tissues will fail, and where the failure will occur.

The use of an entire human surrogate to study the response to axial compressive loads due to impacts on the crown were conducted by Mertz, et al. (3). A Hybrid III dummy was placed in an impact environment in which a football mechanical blocking and tackling device had allegedly produced paralyzing neck injuries. Axial compressive loading was primarily produced by impacts from the resilient foam-padded steel cylinder weighing 245 N to the crown of the dummy during the impact intensities assumed to have produced the injuries. This group published two reference curves, one for football players with a maximum value of 6.67 kN, and another with a peak value of 4.45 kN for the adult population. They cautioned that since injury can occur under a variety of loading conditions, being below the curve does not necessarily insure that neck injury will not occur when the dummy is placed in a particular loading environment.

Culver, et al. (4), studied direct impact to the crown of fresh cadavers in which the subjects were placed in a supine position and the cervical spine was aligned along the impactor axis. These investigators found that the predominantly spinous process fractures produced in their setup indicated a compressive arching which followed the normal lordotic curvature of the cervical spine and appeared to depend on the initial rotation of the head and axial alignment of the spine. They found that if the head rotated rearward or the head was placed above the axis of the spine the arching was increased. No dislocations, no anterior compressive fractures of the bodies of the vertebrae, nor any basal skull fractures

were found. The data indicated that peak impact force of 5.7 kN is a level above which cervical spine fractures will begin to occur for an average cadaver under conditions of their experiment.

In addition to its inherent instability under the action of head impacts with a compressive component (crown impact), another primary reason for lack of understanding of cervical spine injury mechanisms due to crown impact has been the inability to visualize spine movements or quantify the effects of load variables. The present series was designed to enable visualization of parts of the spine by means of high-speed photography and measurement of vertebral strain during impact to the helmeted head of embalmed cadavers.

METHODS

Shown in Figure 1 is the device used by Mertz, et al. (3), to impact the Hybrid III dummy. In the present series, it was used to propel any of three surfaces consisting of the soft foam-filled padded steel cylinder of Mertz, a padded knee from a Sierra 1050 dummy, or a load cell, padded or unpadded. When fitted with either the similar weight (245 N) padded cylinder or knee, the impact mass could be propelled by three combinations of tension springs to velocities of 3 ms, 4.1 ms, or 5.2 ms, striking near the end of the allowable travel at which impact occurred. Using the load cell, the striking body weighed 445 N and moved at proportionately lower impact velocities.

The cadavers were strapped in a prone position to a 312 N aluminum pallet with provision for raising the chest and head to control the impact location. The pallet was placed on a roller-bearing conveyor such that the pallet was free to roll.

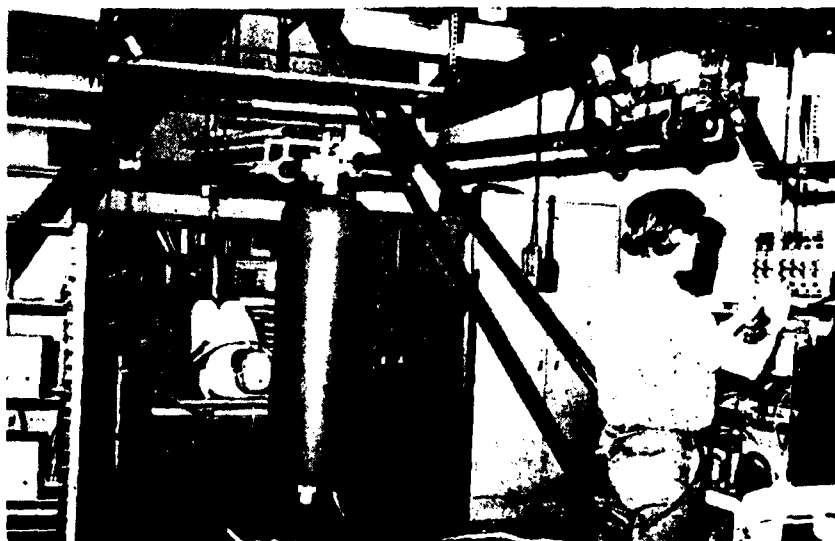


Fig. 1- Springloaded propulsion system used to deliver head impacts.

CADAVERS - Sixteen embalmed male cadavers were used in these tests. Most of the cadavers were prepared by sectioning the left side of the neck to expose parts of either the spinous processes or the bodies and facet joints. Preliminary experiments on several of these cadavers in which the entire sides of the vertebrae were exposed, including the bodies, facets, and spinous processes, produced predominantly lower cervical interspinous ligament failures which are atypical of cervical spine injuries seen clinically. Four of the cadavers were fitted with strain gages, beginning with three on the anterior surfaces of the bodies of C3, C5, and C7 on the initial cadaver, to as many as twelve on both the anterior surfaces of the bodies of all except C1 and near the left facet joints of all the cervical vertebrae. Although it was necessary to remove part of the longitudinal ligament at each anterior body gage site, this did not appear to weaken the spine. The cadavers were fitted with a protective helmet of the resilient linear type for the purpose of distributing the impacts, especially with the rigid load cell, to prevent skull fracture, and minimize variables resulting from skin damage.

OTHER INSTRUMENTATION - In a few cases the helmet was cut away and a triaxial accelometer was screwed to the cadaver skull for the purposes of measuring the resultant acceleration at the mounting location in the mid-sagittal plane. A LOCAM^R and a HYCAM^R, operating at 500 and 1000 fps, were used to record head and neck motion in selected cases. Velocity of the impact surfaces was measured by interception of two light beams within 25 mm of the impact site.

OTHER IMPACT SETUPS - Several tests used gravity propulsion of a cadaver strapped to a light pallet pivoted at the feet and allowed to

free fall into impact of the extended head to a Sierra 1050 knee surface which was free to swing away. This produced an I-S component of force with resulting hyperextension of the neck. Facemasks were used on the helmet to investigate whether or not an impact on the mask could, by virtue of a rear rim 'guillotining' mechanism, produce fracture and/or dislocation of the cervical spine: and/or whether a high cut rear rim was beneficial from the standpoint of reducing this hazard (Fig. 2).

STATIC TESTS - For optimum control of tests and to understand the dynamics of the spine, static load deflection tests were conducted as shown in Figure 3. The cadavers were seated in a frame under a hydraulic press operated at a slow loading rate of 10 mm/s. Scissor jacks were used to position and brace the body. A loading fixture was clamped to the head for the purpose of loading at discrete points through a clevis which could be fixed to prevent head rotation, simulating the gripping action of a distributed dynamic impact, or a free clevis that simulated the action of a concentrated impact allowing nodding at the atlanto-occipital joint.

RESULTS

DISTRIBUTED CROWN IMPACT - Shown in Figure 4 is an excerpt from film taken at 500 fps of a distributed impact to the crown of the helmet. The gripping action of the bag on the helmet minimized rotation of the head on the neck at the atlanto-occipital joint even though the impact was anterior to the cervical axis. This resulted in a configuration of the spine similar to the so-called "duckling" shape described by Bauze and Ardran (2), typically sustained when diving into a shallow, sandy bottom pool. The modes of failure in this situation occur in the lower cervical with the possibility of crushing the anterior bodies of C5 or



Fig. 2- Position at impact of facemask drop test onto swing-away dummy knee to observe effect of rear rim on spine strain.

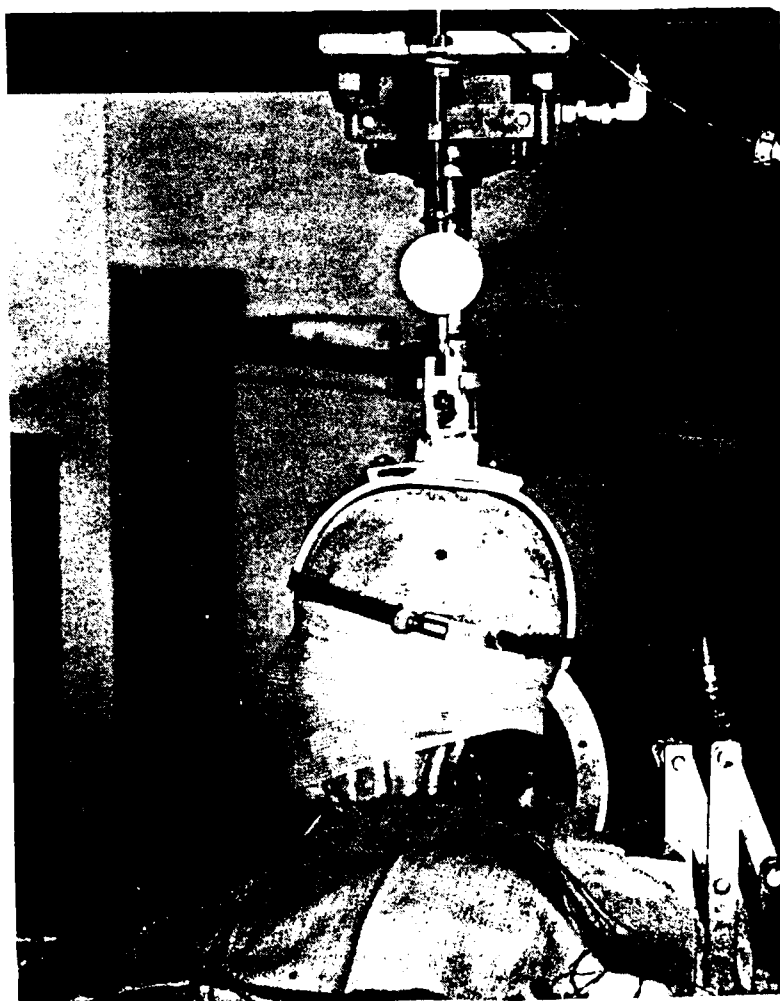


Fig. 3- Static test setup for applying axial loads to head.



Fig. 4- Excerpt from film taken at 500 fps showing distributed impact and resultant "ducking" shape of the cervical spine.

C6, a forward dislocation of C5 over C6, or a possible tear of interspinous ligaments in the region of C5-C7.

CONCENTRATED IMPACT - Concentrated impact against such as a padded knee of the 1050 Sierra dummy shown in Figure 5 anterior to the cervical axis, allows head nodding at the atlanto-occipital joint with resultant high cervical flexion. As the flexion increases the shear component increases with the likelihood of a bilateral dislocation (2) in the event of symmetrical loading, or what is more likely, a unilateral dislocation due to compression-flexion-rotation loading. Such a unilateral dislocation is shown in the sequence of frames in Figure 6 (left to right) which displays the dislocation of the C2 facet on C3, ending in locked facets. This dislocation appeared to be caused by compression-flexion loading with resultant P-A shear stress and was followed rather than preceded by rotation as predicted by Roaf's setup (1).

STATIC TESTS - After conducting numerous tests with distributed and concentrated loading it became apparent that many modes of failure could occur depending on the orientation of the neck prior to impact. As pointed out by Bauze and Ardran (2), if a person lands on his head with the whole neck in extension, fractured spinous processes with ruptured anterior longitudinal or anterior avulsion fracture may be expected. This was evidently the experience of the Culver, et al., study in which spinous process and intervertebral ligament failure occurred (4). Lateral flexion may produce rupture of the capsular ligaments around the middle of the neck on the convex side, as shown in the excerpt from high-speed film of C4-C5 separation in Figure 7 of the present series. This instability was afterward undetectable on x-ray as the joint returned to normal position. Experiences of these tests also indicated that if the



Fig. 5 - Concentrated load delivered by moving dummy knee to stationary cadaver anterior crown surface.

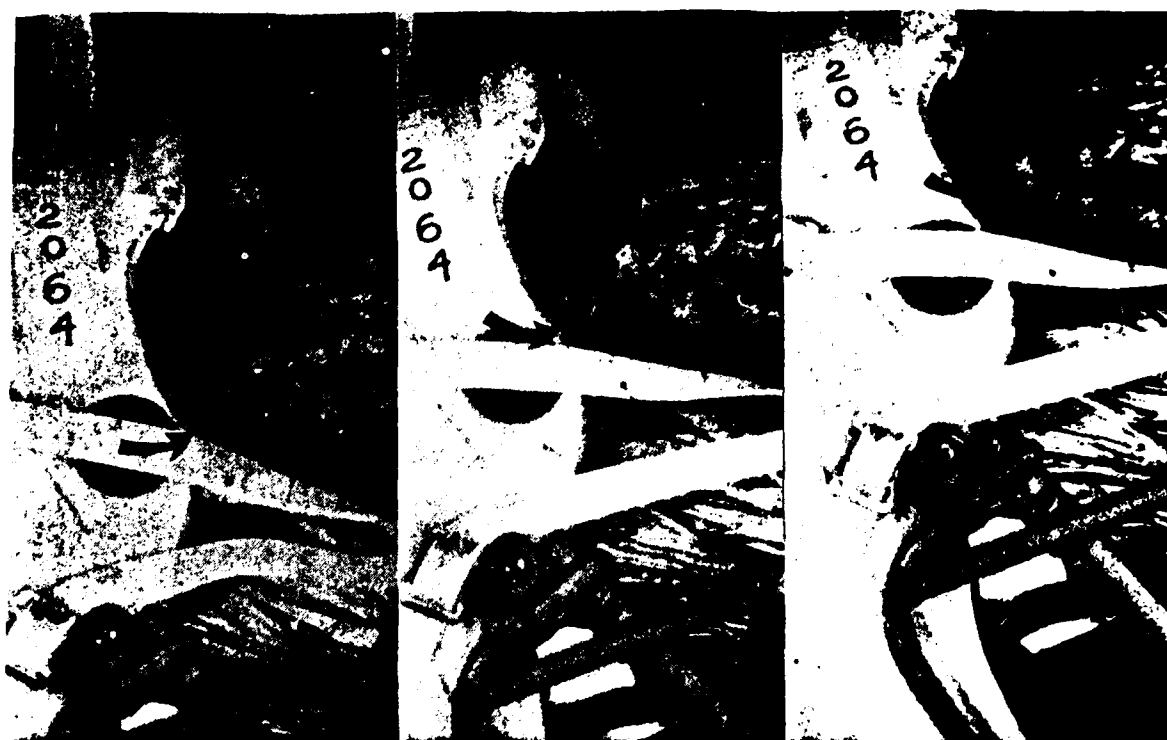


Fig. 6 - Excerpts from film taken at 500 fps showing the occurrence of a unilateral dislocation of C2 and C3 from a concentrated load anterior to the cervical axis.

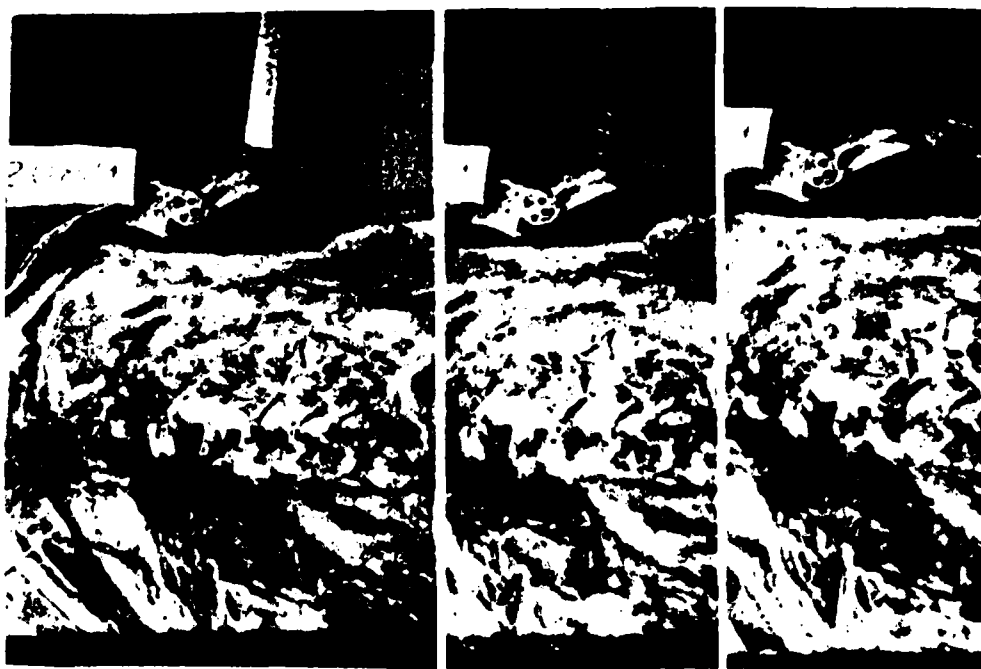


Fig. 7 - Excerpts from film taken at 500 fps showing the rupture and opening of articulating facets C3-C4 due to lateral bending caused by distributed crown loading.

striking surface is smooth and not centered on the smooth, hard helmet, either of which are free to move transverse to the initial line of motion, the result will be a harmless impact in which the head or striking body is deflected sideways, dissipating only a fraction of the kinetic energy of the moving body (also see reference 3).

For these reasons the static setup such as shown in Figure 3 was devised. Axial and anterior loading with the clevis pin locked and free were produced while measuring strain in the anterior surfaces of the body of C3, C5, C7 by means of foil strain gages. Also the cervical spine, were obtained simultaneously as shown in Figure 8. For axial loading of the spine with the clevis fixed, the load is distributed predominantly as axial compression in the cervical spine bodies and facet joints as evident by the relatively straight lower plot. For anterior loading with free clevis, the curve labelled 2 was obtained and evidently results from stretching of the posterior longitudinal ligament and interspinous ligaments as the neck is flexed.

STRAIN DISTRIBUTED FROM STATIC LOADING - In Figure 9a is shown the shape of the cervical spine, diagrammatically, under the condition of clevis free, axial loading and initial upper cervical spine extension. The strain distribution under these conditions corresponds to the prediction by Bauze and Ardran (2) from observations of their model, which suggested that if a person landed on his head with the neck in extension, fractured spinous processes and ruptured anterior longitudinal ligaments or anterior avulsion fractures could be expected. The spine shape and strain distribution also correspond to the cadaver damage experienced by Culver, et al. (4).

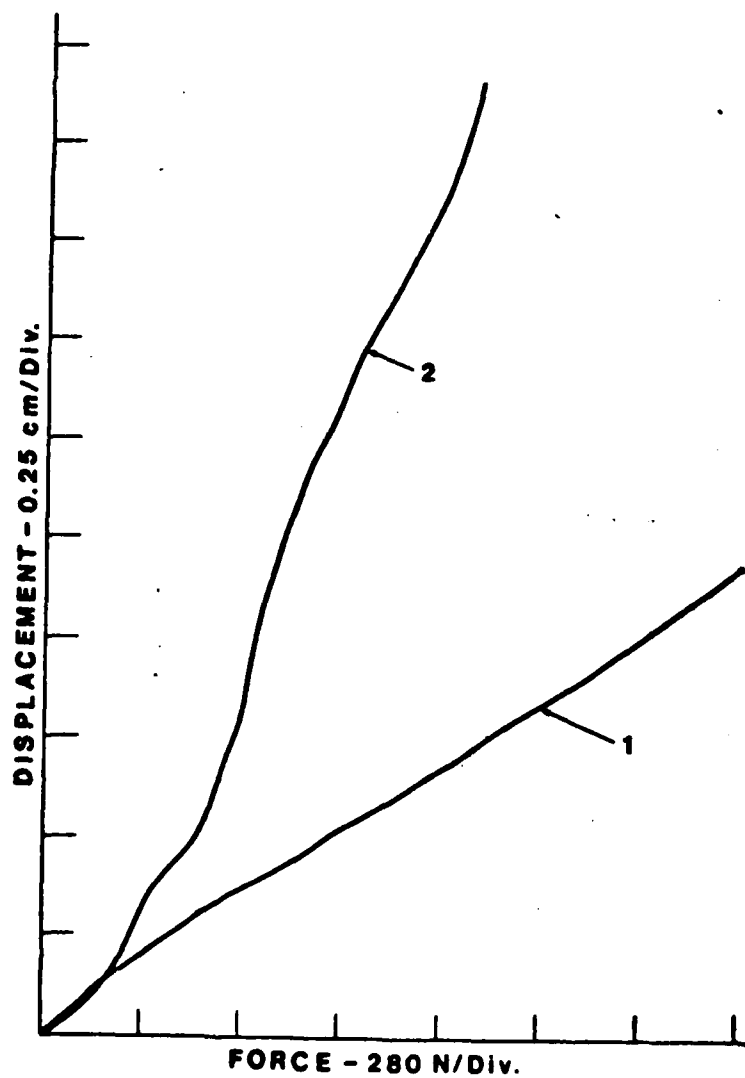


Fig. 8 - Static load deflection due to axial loading with no head rotation ((1) bone loading) and anterior to cervical axis loading with head free to rotate ((2) ligament loading).

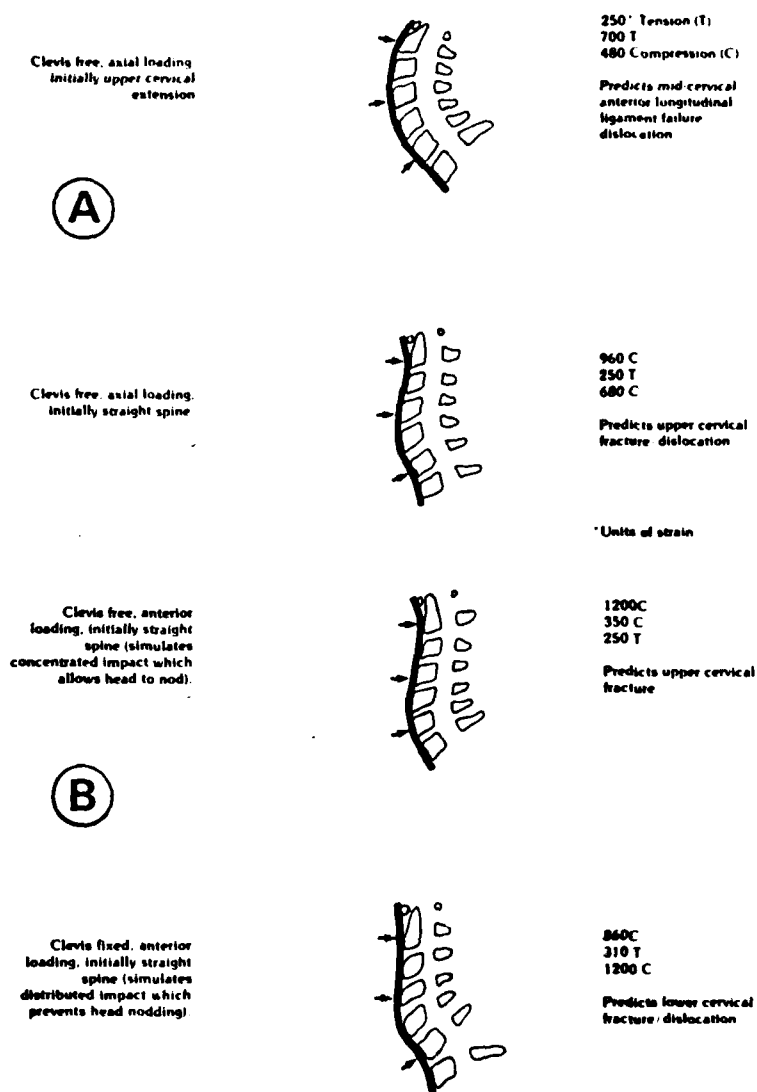


Fig. 9 A & B - Diagrams of curvature and peak strain values for similar maximum load levels (≈ 1.8 kN) under four different loading conditions.

With similar loading of the initially straight spine, flexion occurred in the upper cervical spine which produced high compressive strain in C2. The model predicts the likelihood of a forward dislocation of C2 on C3 (Fig. 9b).

As the load is moved anteriorly with the clevis free, flexion in the upper cervical becomes more pronounced with the increased likelihood of either fracture or dislocation in the upper cervical spine at lower load levels (Fig. 9c).

With the clevis fixed, anterior loading, and with initially straight spine, the loading simulates an impact by a distributed surface anterior to the cervical spine which prevents rotation of atlanto-occipital joint (nodding). Moderate compressive loading is experienced in the upper cervical and high compression in C6 just below the inflection point at which the stress in anterior body surfaces changes from tension to compression. The model predicts lower cervical spine fracture and/or dislocation (Fig. 9d).

EFFECT OF HEAD-CERVICAL SPINE-BODY ALIGNMENT WITH LOAD LINE OF ACTION -

In Figure 10 are shown three of the spine alignment configurations which were tested. In this series all impacts were centered on the crown and were produced by propelling the load cell into the stationary cadaver as shown in Figure 11. The tests began with the straight alignment of the lowest figure and progressively the cadaver chest and head were raised to the maximum height at which a crown impact could be produced, i.e., higher elevation would produce interference between the chin and the chest, preventing further flexion. The maximum anterior body strains of C3, C5, and C7 are shown on the figure, indicating a progressive severity as the upper arching and, therefore, initial cervical spine

Effect of Head-Cervical Spine-Strain Alignment

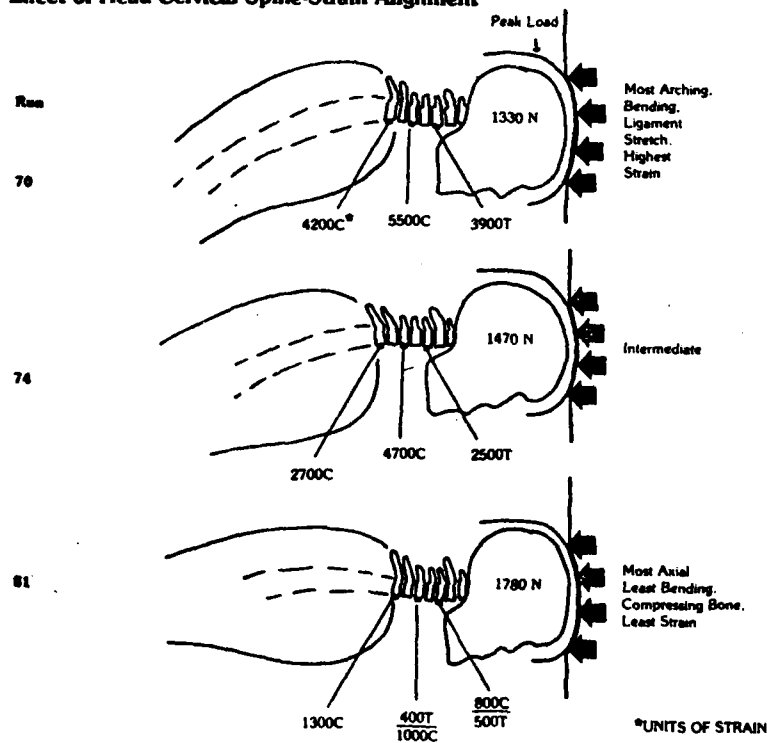


Fig. 10 - Effect of Head-Cervical Spine-Body alignment on anterior cervical body strain.

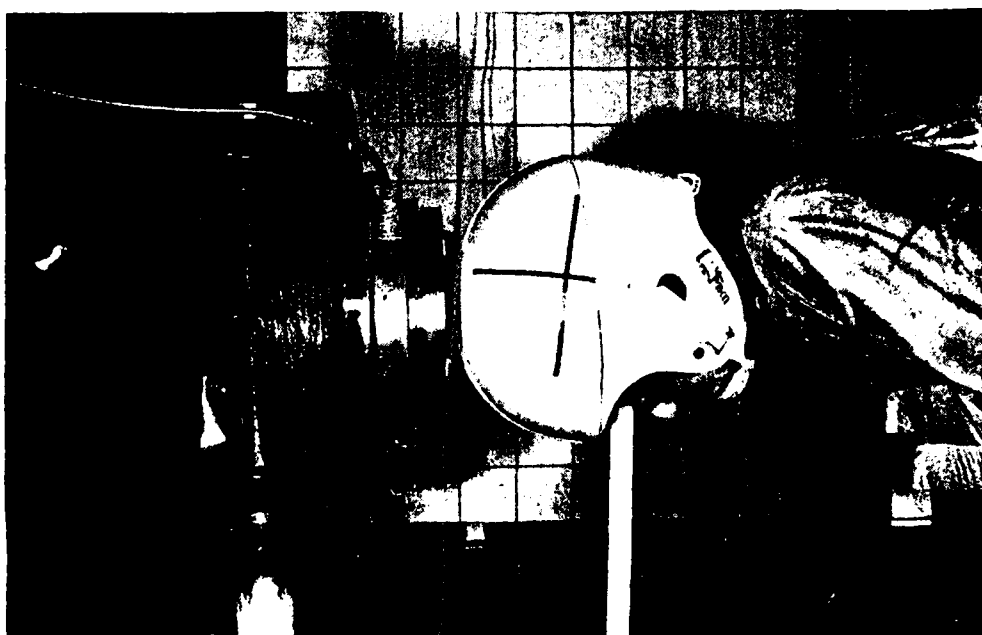


Fig. 11 - Load cells used to deliver padded or unpadded impacts to the cadaver crown.

flexion becomes more pronounced. Because of the straight alignment, the lowest position involved a greater percentage in inertial resistance from body mass below C7, and the highest arched position the least amount, as indicated by the lower force recorded in the latter case. These comparative values of strain point out the difficulty in attempting to ascribe a tolerable force level for crown impact in three positions which would be described as axial loading. The top position which produced significantly higher strain at each of the three strain gage measuring locations, recorded the lowest force on the head.

EFFECT OF LOAD LINE OF ACTION RELATIVE TO THE CERVICAL AXIS - Shown in Figure 12 are the strains recorded for impacts at three locations on the head for a constant chest elevation. The least strain was recorded on the anterior bodies of the vertebrae with the load cell centered 76 mm above the front rim. Maximum levels of strain were recorded for the crown impact centered 191 mm above the front rim of the helmet. Contrasting with the data obtained in Figure 10, minimum strain on the anterior surfaces were recorded here for the minimum load on the head which was obtained for the blow centered near the front of the head. Maximum force and strain were recorded for the crown impact in which there was initially straightest alignment involving a greater amount of body mass below C7, whereas for the nearly frontal blow, the inertial reaction was provided primarily by the mass of the head and the neck. The intermediate position produced intermediate force and strain levels. It can be seen however, that there is not a proportionate increase of strain with load, but rather a precipitous increase in strain with small increase in load, again indicating the difficulties in establishing tolerable load levels for the neck due to head impacts.

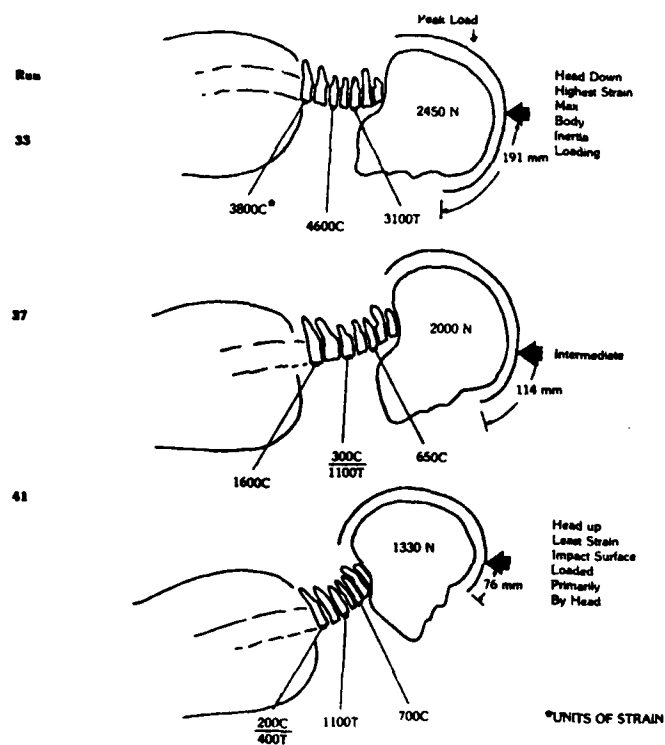


Fig. 12 - Effect of load line of action relative to the cervical spine axis on cervical anterior body strain.

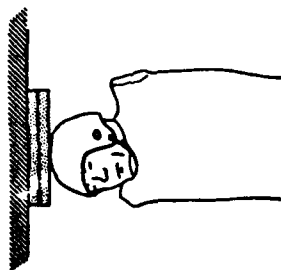
EFFECT OF ENERGY ABSORBING MATERIAL IN THE CROWN - An attempt was made to determine if the strain in the cervical spine could be reduced by means of varying the energy absorbing material on the load cell which struck the crown of the cadaver oriented to produce cervical spine axis alignment as close as possible. Impacts were delivered against the unhelmeted head with no pad on the load cell, producing the load and strains at C3, C5, and C7 as shown for Run 61 in Table 1. A firm, resilient energy absorber, 76 mm thick, was applied to the load cell, with no helmet on the cadaver, producing the loads and strains for Run 68, resulting in slightly higher compressive strains at C5 and C7. When the helmet was placed on the cadaver, and using the same firm padding, strain levels were similar to the no pad, no helmet condition of Run 61, except being slightly lower compressive strains at C7. Essentially the same strains were produced with a soft foam pad of the same thickness and wearing a helmet as shown for Run 72. Apparently the only effect of inserting the padding was to slightly change the shape of the impulse by reducing the peak force and spreading out the time duration. It is assumed that practical amounts of padding did not significantly reduce strain because:

1. The loading is distributed over an area on the order of 26 cm^2 , on the helmet surface, consequently, the padding is relatively stiff compared to the spine with which it is in series and does little to modify the loading of the spine.

2. Even when the helmet and energy absorbing material combination acts to alter the peak force, strain is not linearly related in the curved column which is trapped between the head and the body below C7. The critical load at which the cervical spine buckles further out of its initial alignment varies unpredictably due to the factors demonstrated previously in Figures 10 and 12.

Table 1

Crown 'Energy Absorption Inadequate' Theory:

EFFECT OF ENERGY ABSORBER (EA) MATERIAL ON
CERVICAL SPINE STRAIN DUE TO CROWN IMPACTS
BY 49 Kg MASS

BUN	PAD TYPE	PAD THICKNESS mm	HELMET	PEAK FORCE kN	TENSION C ₁	COMPRESSION C ₁	COMPRESSION C ₂
61	no	—	no	2.0	3700	5200	4400
68	Firm	76	no	1.8	3700	5500	4700
69	Firm	76	yes	1.3	3700	5200	4000
72	Soft	76	yes	1.3	3800	5200	3840
'SILLY PUTTY' COLLAR							
102	NO	—	yes	2.0	700	1600	960

RESULTS:

Practical amounts of padding did not significantly reduce strain because:

1. Axial loading of a straight spine is usually distributed over a large head area ($\approx 129 \text{ cm}^2$). Therefore padding is relatively *stiff*, doesn't dissipate much energy by deformation, and
2. In case of off-axis impact with a curved spine the padding is in series with a softer ligament stretching system over which it has little control.
3. Energy available is much greater than can be absorbed by practical amounts of padding worn on the helmet crown.
4. A 'silly putty' collar was very effective in reducing cervical spine strain. It is assumed to act by stiffening under impact to transfer loads from helmet to shoulder pads and provide a simulated tensed muscle lateral stability.

3. Furthermore, the energy available in these tests or in a propelled body involved in a motor vehicle crash, is usually much greater than can be absorbed with practical amounts of deforming material or structures either worn on the head or mounted in a vehicle, to alleviate strain in the cervical spine due to a crown impact.

As shown for Run 102 in Table 1 the only protective procedure which produced significantly lower strain was by means of a silicon collar ('silly-putty') wrapped around the neck in a plastic bag. The collar had the effect of stiffening on impact to simulate the lateral stability supplied by tensed muscles, and also to transfer the load around the neck from the helmet into the shoulders.

EFFECT OF HELMET REAR RIM IN HYPEREXTENSION INJURIES - There have been many medicolegal ramifications related to the design of the helmet rear rim (crash and football helmets) since Schneider (5) attributed three football neck injuries to a guillotine mechanism of the helmet. According to this theory, an impact to the facemask with an IS component of force causes rotation of the helmet on the head, hyperextension of the neck and impingement of the helmet rear rim on the back of the neck with such force as to produce fracture and/or dislocation. Schneider recommended that the rear rim of helmets be cut higher to eliminate this hazard. To test the theory and the remedy, a cadaver was instrumented with seven strain gages on the anterior bodies and near the articulating facets from C2 through C7. The cadaver was strapped to a pallet free to pivot at the feet, and with head overhanging the raised end of the pallet. A Sierra 1050 leg, flexed at the knee, was mounted in the path of the fall of the head such that the facemask would strike the knee about 150 mm above the joint causing hyperextension of the neck of the cadaver as shown in Figure 2. The knee was free to move upon impact.

Preliminary tests on four cadavers with a standard helmet showed that the helmet contacted the rear of the body between C7 and T2 as shown in Figure 13, which is an excerpt taken at 500 fps at the instant of contact of the helmet with the body showing the flag, which is mounted in the spinous process of T2, being bent. Two drops each were conducted with a standard helmet and with a helmet cut high according to the recommendation. Maximum drop height of the head above the knee was 610 mm. The results of these tests for the maximum drop are shown in Table 2.

The high cut helmet had a padded rim to distribute the load. The standard helmet had a partial suspension (nape bond) inside the rear rim to help maintain clearance between the rim and the neck in the event of hyperextension motions. High-speed motion pictures showed that both helmets contacted the lower neck. The cross on the helmets rotated through 41 degrees, from initial contact of the knee with the facemask until contact of the helmet rear rim with the neck for the high cut helmet, and 28 degrees for the standard helmet. At all but one (about equal) strain locations the strain was higher for the high cut helmet. These results would indicate that there is hyperextension of the neck, partially alleviated by the lower cut standard helmet shell interference, which is the determining factor in spinal strain distribution and not contact of the helmet with the neck. Furthermore, the remedy for this alleged mechanism appears to make it more likely that an injury from contact of the rear rim of the helmet with the neck will occur because not only does a higher rim allow more extension but tends to hit higher on the neck and at a greater angle.

CLOSING REMARKS

Although these tests have not been exhaustive of many modes of neck loading which can cause injury, the results indicate that the possibility

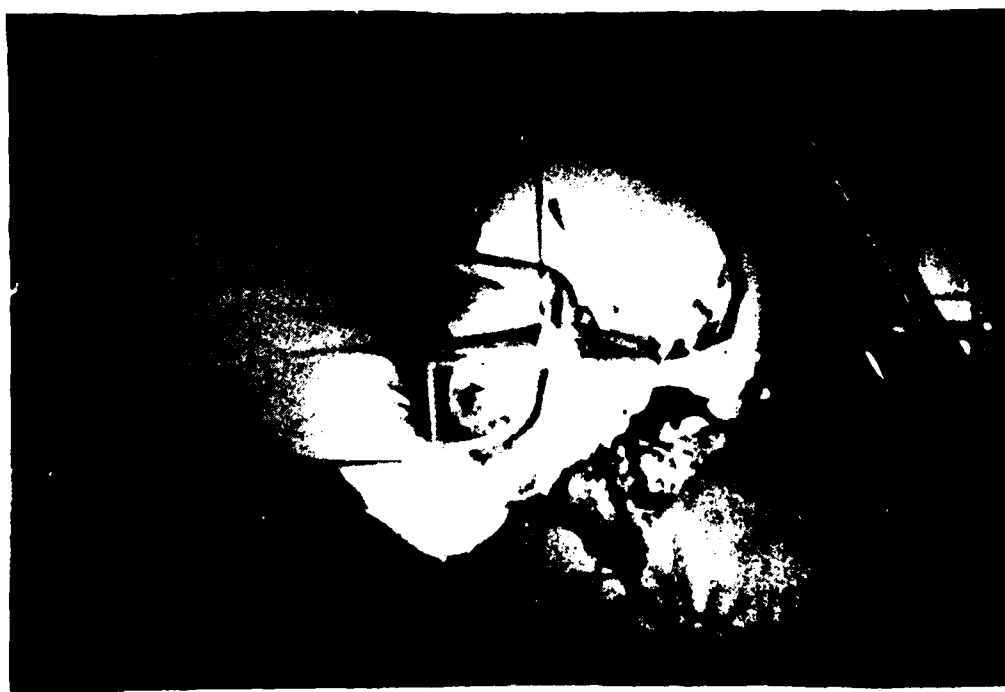


Fig. 13 - Rear rim bending flag stuck into T2 due to hyperextension from blow under facemask.

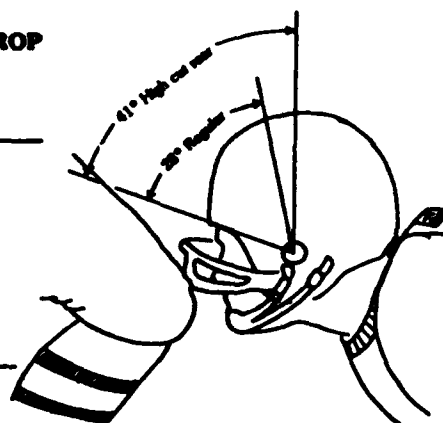
Table 2

'GUILLOTINE' THEORY:

**EFFECT OF KNEE TO FACEGUARD IMPACT
STANDARD VS HIGH CUT REAR SHELL RIM-610 mm DROP**

HELMET	Strain ¹ in/in								of Ext. Rotation- deg.
	Facets			Anterior Body					
	C2	C3	C5	C2	C3	C4	C5		
STANDARD SUSPENSION	-1030	550	-300	-480	1100	1140	270	28	
HIGH CUT ² (padded)	-1320	900	-320	-260	1380	1330	500	41	
% CHANGE	28	64	7	—	24	16	85	46	

¹ (-) indicates compression
² Done first



RESULTS:

No injury was produced

Rear rim impinged in C7-T2 area

Higher cutout caused more extension and larger strains

of developing criteria such as tolerable neck loads for the general case of head impact seems unlikely. They suggest that the optimum method of head-face-neck protection for high risk of crash vehicles, and which may become more attractive to the general public with the transition to smaller vehicles, should include a helmet-facemask-neck collar-shoulder pad combination worn by passengers. The neck collar would serve the purpose of transferring loads around the neck in event of crown loading and would also help to limit cervical flexures in all directions.

CONCLUSIONS

1. Distributed crown impacts grip the head, tending to prevent the nodding motion at the atlanto-occipital joint, thereby forcing exaggeration of lower cervical flexion and thereby higher anterior body compression and ligament shear strain, with the likelihood of a fracture and/or dislocation most probable between C4-C7.
2. Concentrated crown impacts allow nodding at the atlanto-occipital junction with the result that dislocation failure in the upper cervical from compression-flexion-shear loading will be the threshold injury.
3. For crown impacts with a flat rigid impactor, the greatest risk of injury occurs when the body-cervical spine axis-head alignment is in a flexure posture prior to impact. The minimum risk occurs when the body-cervical spine and head are in alignment (near axial loading).
4. For impacts to the head with a flat rigid impactor, maximum risk of injury to the neck, holding the orientation of the spine below C7 constant, occurs for a crown impact; minimum risk for a forehead impact.
5. Firm or soft energy absorbing materials up to 76 mm did not reduce strain due to a crown impact with a flat rigid impactor.

6. The posterior rim guillotine injury mechanism theory was not validated by these experiments and the remedy of cutting the helmet higher appears to make the possibility of injury from this mechanism more likely to occur.

7. Crown loading was not found to correlate with cervical spine strain.

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